

Appln. No.	:	09/605,612	Confirmation No. 5855
Applicant	:	Lucas, <i>et al.</i>	
Filed	:	June 28, 2000	
TC/A.U.	:	2178	
Examiner	:	Huynh, Cong Lac T.	
Docket No.	:	6169-142	
IBM Docket No.	:	BOC9-1999-0085	

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**AFFIDAVIT IN SUPPORT OF DECLARATION UNDER 37 C.F.R. § 1.131**

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22203-1450

Sir:

I, Richard A. Tomlin, a citizen of the United States of America, residing at 5400 N. Ocean Blvd, Apt. 54, Fort Lauderdale, FL 33308, hereby declare and state as follows:

1. I am employed by International Business Machines Corporation (IBM) of Boca Raton, Florida as Consulting Attorney in the Legal Department and I am knowledgeable in the procedures employed by IBM in developing and protecting its intellectual property. I make this declaration in support of the above-identified application.

2. IBM has invested substantial time and effort into the research, development, and marketing of their products, and in an effort to protect its rights in all new inventions, IBM requests that all employees prepare and submit IBM Confidential Invention Disclosure Forms upon conception by the inventor(s).

3. An IBM Confidential Invention Disclosure Form is to be completed by the inventor(s) at the time an invention is conceived.

4. Once an IBM Confidential Invention Disclosure Form has been created, the document management system under which IBM Confidential Invention Disclosure Forms are

U.S. Patent Appln. No. 09/605,612  
Affidavit in Support of Declaration  
under 37 C.F.R. § 1.131  
Docket No. 6169-142

IBM Docket No. BOC9-1999-0085

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generated does not permit amendments to the Invention Disclosure Form. Any changes and / or additions are appended to an attachment to the Invention Disclosure Form along with a date that the attachment was added. Accordingly, No such attachment accompanies IBM Confidential Invention Disclosure BOC8-1999-0113. Consequently, IBM Confidential Invention Disclosure BOC8-1999-0113 has not been amended since the date it was created, November 11, 1999.

5. An IBM Confidential Invention Disclosure Form is intended to provide all information necessary for outside legal counsel to prepare an appropriate patent application reflective of the disclosed invention when used in conjunction with information known by one skilled in the art.

6. Once an IBM Confidential Invention Disclosure Form has been created, the Invention Disclosure Form is reviewed and a decision is made in an expedited manner whether to prepare an application on the subject matter. In the above-identified patent application, this decision was made and outside counsel was instructed to prepare an application on November 29, 1999. The above-identified patent application was filed June 28, 2000.

7. I make this Affidavit to establish that the IBM Confidential Invention Disclosure Form fully supports the invention as claimed in the above-identified patent application and that due diligence was exercised from November 11, 1999 through June 28, 2000, the filing date for the above-identified patent application.

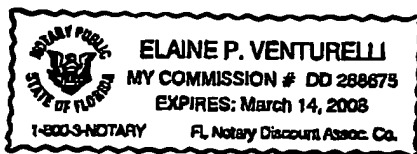
8. I further declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are

**IBM Docket No. BOC9-1999-0085**

  
Richard A. Tomlin

Date: 08/04/09

The foregoing instrument was sworn to and subscribed before me this 4 day of AUGUST, 2004, by RICHARD A. TOMLIN, who is personally known to me or who has produced \_\_\_\_\_ (type of identification) as identification.



Elaine P. Venturilli  
NOTARY PUBLIC

ELAINE P. VENTURELLI  
(Print, Type or Stamp Commissioned Name of Notary Public)



## Disclosure BOC8-1999-0113

Created By: David Reich Created On: 11/11/99 03:05:09 PM

Last Modified By: David Reich Last Modified On: 11/11/99 03:40:36 PM

\*\*\* IBM Confidential \*\*\*

Required fields are marked with the asterisk (\*) and must be filled in to complete the form.

### Summary

Status	Under Evaluation
Processing Location	BOC
Functional Area	Speech Development & Customization (O. Osborne)
Attorney/Patent Professional	Richard Tomlin/Boca Raton/IBM
IDT Team	[REDACTED]
Submitted Date	11/11/99 03:24:02 PM
Owning Division	SWG <a href="#">Add/Change</a>
PVT Score	To calculate a PVT score, use the 'Calculate PVT' button.
Lab	
Technology Code	
Incentive Program	

### Inventors with Lotus Notes IDs

Inventors: Bruce Lucas/Watson/IBM, David Reich/West Palm Beach/IBM

Inventor Name > denotes primary contact	Inventor Serial	Div/Dept	Manager Serial	Manager Name
Lucas, Bruce D.	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Reich, David E.	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

### Inventors without Lotus Notes IDs

### IDT Selection

IDT Team: [REDACTED]	Attorney/Patent Professional: Richard Tomlin/Boca Raton/IBM
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Response Due to IP&L : 12/11/99

### Main Idea

#### \*Title of disclosure (in English)

Method and apparatus for synchronized voice and visual user interface access to Internet web-based information

#### \*Idea of disclosure

1. Describe your invention, stating the problem solved (if appropriate), and indicating the advantages of using the invention.

The invention, which we have been calling "cobrowsing" is a way to synchronize voice and visual access to web data. The idea of the web for HTML is that a browser requests markup from a web server. The server returns either static or dynamically generated markup (HTML) which is rendered by the browser. For voice, one could use a voice markup language (such as VoiceXML), but it requires a separate browser. The problem is how to create a multimodal aspect whereby the visual and voice browsing can

be synchronized without writing a new, separate hybrid browser, and without having to write new function directly into existing voice or visual browsers. After all, modifying Netscape or IE is not a realistic alternative.

The solution is cobrowsing. By writing the voice browser as a Java applet, (and using some scripting along with it) to be run in the Java "sandbox" under the visual browser, and using existing markup tags, one can effectively synchronize the voice and visual presentation. (For example, where a user would say "How do I get from San Francisco to Los Angeles?" and the browser tells him and shows it on a map as well, and clicking on say, a highway would enlarge the map and activate some voice output about the highway, selected route etc).

The essence is to have "co-target" type tags that are designed for the "other" browser in the cobrowsing pair. When a markup has a target (such as an "href" in HTML, a cotarget is specified in the tag as well. This causes some script to be executed that passes the data to (or from) the applet that causes the other to go visit the co-target. So when the user clicks on the map, the co-target tells the voice component to visit a different URL that has the voice content, and conversely, when the user asks to be shown say, San Luis Obispo, the co-target in the voice markup tells the visual browser to visit the appropriate URL.

2. How does the invention solve the problem or achieve an advantage, (a description of "the invention", including figures inline as appropriate)?

It solves the problem by using existing tags, in existing markup languages, with an innovative use of scripting and applets to make cooperating applications (actually, it can be viewed as one application since they are cooperating now) without reprogramming of either of the applications, making it cost effective and practical.

3. If the same advantage or problem has been identified by others (inside/outside IBM), how have those others solved it and does your solution differ and why is it better?

The only other solution currently proposed is proposed by Microsoft, and their solution is to build speech into their browser and add a set of new speech tags to HTML. This is a proprietary solution and attempts to hijack the HTML specification, and the industry has vocally rejected this plan.

4. If the invention is implemented in a product or prototype, include technical details, purpose, disclosure details to others and the date of that implementation.

It is implemented in a prototype and has only been shown internally. The implementation was around April, 1999 and was written for Windows NT only. It essentially uses the voice browser and a visual browser, and uses JavaScript and the Java plug-in API to perform the actual information passing to perform the synchronization.

**\*Critical Questions ( Questions 1 - 7 must be answered)**

**\*Question 1**

On what date was the invention workable? 04/10/99 Please format the date as MM/DD/YYYY (Workable means i.e. when you know that your design will solve the problem)

**\*Question 2**

Is there any planned or actual publication or disclosure of your invention to anyone outside IBM?

☒ Yes  
☐ No

If yes, Enter the name of each publication or patent and the date published below.

Publication/Patent:

Date Published or Issued: This is planned for a product in the "E-Voice" project.

Are you aware of any publications, products or patents that relate to this invention?

☐ Yes  
☒ No

If yes, Enter the name of each publication or patent and the date published below.

Publication/Patent:

Date Published or Issued:

<b>*Question 3</b>	
Has the subject matter of the invention or a product incorporating the invention been sold, used internally in manufacturing, announced for sale, or included in a proposal?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Is a sale, use in manufacturing, product announcement, or proposal planned?	<input checked="" type="radio"/> Yes <input type="radio"/> No
If Yes, identify the product if known and indicate the date or planned date of sale, announcements, or proposal and to whom the sale, announcement or proposal has been or will be made. Product: "E-Voice" (We do not have a name yet) Version/Release: 1 Code Name: E-Voice Date: 2H2000 To Whom: Customers If more than one, use cut and paste and append as necessary in the field provided.	

<b>*Question 4</b>	
Was the subject matter of your invention or a product incorporating your invention used in public, e.g., outside IBM or in the presence of non-IBMers?	<input type="radio"/> Yes <input checked="" type="radio"/> No
If yes, give a date. Please format the date as MM/DD/YYYY	

<b>*Question 5</b>	
Have you ever discussed your invention with others not employed at IBM?	<input type="radio"/> Yes <input checked="" type="radio"/> No
If yes, identify individuals and date discussed. Fill in the text area with the following information, the names of the individuals, the employer, date discussed, under CDA, and CDA #.	

<b>*Question 6</b>	
Was the invention, in any way, started or developed under a government contract or project?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not sure
If Yes, enter the contract number	

<b>*Question 7</b>	
Was the invention made in the course of any alliance, joint development or other contract activities?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Not Sure
If Yes, enter the following :Name of Alliance, Contractor or Joint Developer	
Contract ID number	
Relationship contact name	
Relationship contact E-mail	
Relationship contact phone	

<b>Question 8</b>	
Have you submitted, or are you aware of, any related disclosure submission?	<input type="radio"/> Yes <input checked="" type="radio"/> No
If Yes, please provide the title and docket or disclosure number below:	

**Question 9**

What type of companies do you expect to compete with inventions of this type? *Check all that apply.*

- ☐ Manufacturers of enterprise servers
- ☐ Manufacturers of entry servers
- ☐ Manufacturers of workstations
- ☐ Manufacturers of PC's
- ☐ Non-computer manufacturers
- ☒ Developers of operating systems
- ☒ Developers of networking software
- ☒ Developers of application software
- ☒ Integrated solution providers
- ☒ Service providers
- ☐ Other (Please specify below)

**Patent Value Tool (Optional - this may be used by the inventor and attorney to assist with the evaluation of the Patent)**  
**Post Disclosure Text & Drawings**

(Form Revised 12/17/97)

Appln. No. : 09/605,612 Confirmation No. 5855  
Applicant : Lucas, *et al.*  
Filed : June 28, 2000  
TC/A.U. : 2178  
Examiner : Huynh, Cong Lac T.  
  
Docket No. : 6169-142  
IBM Docket No. : BOC9-1999-0008

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**DECLARATION UNDER 37 C.F.R. § 1.131**

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22203-1450

Sir:

I, Bruce D. Lucas, a citizen of the United States of America, residing at 1285 Sunny Ridge Road, Mohegan Lake, NY 10547, hereby declare and state as follows:

1. I was employed by International Business Machines Corporation (IBM) of Boca Raton, Florida at the time the above-identified application was conceived and continue to be employed by IBM. I make this declaration in support the above-identified application.

2. IBM has invested substantial time and effort into the research, development, and marketing of their products, and in an effort to protect its rights in all new inventions, IBM requests that all employees prepare and submit IBM Confidential Invention Disclosure Forms upon conception by the inventor(s).

3. As a named inventor for this invention, my co-inventor and I submitted the attached IBM Confidential Invention Disclosure BOC8-1999-0113.

4. I make this Declaration to establish that my co-inventor and I conceived of the present invention at least as early as November 11, 1999, and exercised due diligence from prior to November 11, 1999 through June 28, 2000, the filing date for the above-identified patent application.



5. I further declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the United States Code, and that such willful, false statements may jeopardize the validity of the above-identified patent application or any patent issuing thereon.

Bruce D. Lucas  
Bruce D. Lucas

Date: 1 APR 04

STATE OF New York  
COUNTY OF Westchester ) ss: Yorktown Heights

The foregoing instrument was sworn to and subscribed before me this 1 day of April, 2004, by BRUCE D. LUCAS, who is personally known to me or who has produced IBM Badge (type of identification) as identification.

Rosemarie M. Gratz  
NOTARY PUBLIC  
Rosemarie M. Gratz  
(Print, Type or Stamp Commissioned Name of Notary Public)

ROSEMARIE M. GRATZ  
NOTARY PUBLIC, State of New York  
No. 01GR4935297  
Qualified in Putnam & Westchester Counties  
Commission Expires July 5, 2006

Appln. No. : 09/605,612  
Applicant : Lucas, *et al.*  
Filed : June 28, 2000  
TC/A.U. : 2178  
Examiner : Huynh, Cong Lac T.

Confirmation No. 5855

Docket No. : 6169-142  
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**DECLARATION UNDER 37 C.F.R. § 1.131**

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22203-1450

Sir:

I, David E. Reich, a citizen of the United States of America, residing at 6884 Inland Court, Jupiter, FL 33458, hereby declare and state as follows:

6. I was employed by International Business Machines Corporation (IBM) of Boca Raton, Florida at the time the above-identified application was conceived and continue to be employed by IBM. I make this declaration in support the above-identified application.

7. IBM has invested substantial time and effort into the research, development, and marketing of their products, and in an effort to protect its rights in all new inventions, IBM requests that all employees prepare and submit IBM Confidential Invention Disclosure Forms upon conception by the inventor(s).

8. As a named inventor for this invention, my co-inventor and I submitted the attached IBM Confidential Invention Disclosure BOC8-1999-0113.

9. I make this Declaration to establish that my co-inventor and I conceived of the present invention at least as early as November 11, 1999, and exercised due diligence from prior to November 11, 1999 through June 28, 2000, the filing date for the above-identified patent application.

10. I further declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the United States Code, and that such willful, false statements may jeopardize the validity of the above-identified patent application or any patent issuing thereon.

  
David E. Reich

Date: 3-31-2004

STATE OF FLORIDA )

COUNTY OF PALM BEACH )

) ss:



The foregoing instrument was sworn to and subscribed before me this 31<sup>st</sup> day of March, 2004, by DAVID E. REICH, who is personally known to me or who has produced License (type of identification) as identification.

  
NOTARY PUBLIC,  
STATE OF FLORIDA

Bette Sikes  
(Print, Type or Stamp Commissioned Name of Notary Public)

*County of Palm Beach*